CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

8100.7B CHG 1

7/01/03

SUBJ: AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP)

1. PURPOSE. This change is issued to reflect the implementation of revised certificate management guidance. As a result, certain guidance and procedures such as resource targeting and CAA notification procedures that were specific to ACSEP have now been made a part of the overall certificate management program and are documented in FAA Order 8120.2, Production Approval and Certificate Management Procedures. This change also incorporates items recommended by the various Directorate Continuous Improvement Teams (DCIT), through the National Continuous Improvement Team (NCIT), and other items as a direct result of special technical audits conducted by the FAA.

2. DISTRIBUTION. This order is distributed to Washington headquarters branch levels of the Aircraft Certification Service; to the branch level in the regional Aircraft Certification divisions; to all Aircraft Certification Service offices; to the Suspected Unapproved Parts Program Office; to the Aircraft Certification branch at the FAA Academy; to the Regulatory Support Division of the Flight Standards Service; and to the Brussels Aircraft Certification Division.

3. DISPOSITION OF TRANSMITTAL. After filing the attached pages, this change transmittal should be retained.

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/s/

Ronald T. Wojner
Acting Director, Aircraft Certification Service

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CHAPTER 1. GENERAL

1. PURPOSE. This order establishes and describes the Federal Aviation Administration (FAA) Aircraft Certification Systems Evaluation Program (ACSEP). This program, an element of certificate management, is a vital element within the FAA's mission of continued operational safety and is excluded from the Department of Transportation's plan to reduce internal regulations by 50 percent. FAA Order 8120.2, Production Approval and Certificate Management Procedures, defines the entire certificate management program. Other evaluations, audits, or inspections may be required in accordance with directorate or headquarters directives. The ACSEP is a comprehensive evaluation program that accomplishes the following:

a. Applies standardized systems evaluation to the continued integrity of the design data after initial approval by the FAA or FAA-delegated representatives, to production activities at production approval holders (PAH) and associate facilities, and to design approval systems at delegated facilities. The ACSEP does not reevaluate the approval of previously approved data such as quality manuals and design data.

b. Ascertains whether PAHs, associate facilities, and delegated facilities meet the applicable requirements of Title 14, Code of Federal Regulations (14 CFR) and comply with procedures established to meet those requirements.

c. Surveys the application of standardized evaluation criteria not required by 14 CFR or FAA-approved data to identify national trends that may require development of new or revised regulations, policy, and guidance.

d. Provides customer focus through the establishment of a database for analyzing evaluation results and for reporting trends in continued operational safety upon which FAA customers may act.

e. Provides continuous improvement by continually evaluating lessons learned and customer feedback reports, and considering proposed improvements by FAA internal and external customers.

f. Provides for employee involvement by establishing and maintaining a professional staff of trained evaluators composed of aviation safety inspectors, aerospace engineers, flight test engineers, and flight test pilots.

2. DISTRIBUTION. This order is distributed to the Washington headquarters branch levels of the Aircraft Certification Service, to the branch level in the regional Aircraft Certification Service divisions, to all Aircraft Certification Service offices, to the Suspected Unapproved Parts Program Office, to the Aircraft Certification Service branch at the Federal Aviation Administration Academy, to the Regulatory Support Division of the Flight Standards Service, and to the Brussels Aircraft Certification Division.

3. CANCELLATION. FAA Order 8100.7A, Aircraft Certification Systems Evaluation Program, dated September 30, 1999, is canceled.

4. EFFECTIVE DATE. Section 7 of appendix 6 and all requirements relating to manufacturer's maintenance facilities (MMF) are effective until October 31, 2003. In the next revision to this order, the Aircraft Certification Service (AIR) Production and Airworthiness Division (AIR–200) will make changes involving the removal of MMFs.

5. EXPLANATION OF CHANGES. The following significant changes are contained in this revision:

a. Removed Appendices 8 and 9 from the current Order body and made them Part B of the stand alone appendices 6 and 7.

b. Reinstated the Removal Date of Manufacturer's Maintenance Facility to the October 2003 date vice the April 2003 date.

c. Updated the required marking guidelines found on the Executive Summary, Appendix 10; Special Emphasis Form, Appendix 11; and the Lessons Learned Form, Appendix 12.

d. Added paragraphs concerning how Aviation Safety Inspectors will gain experience conducting product audits.

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t. System Element. A specific activity or function that may affect the maintenance of FAA-approved design or quality data, such as design data control, manufacturing controls, and supplier control; that may affect how a design approval system at a delegated facility provides a product in compliance with airworthiness requirements; or that may affect the delegation authority and approved procedures. Such activities are subject to evaluation of the adequacy and implementation of approved procedures.

7. FORMS. All forms used in the performance and administration of ACSEP evaluations are provided by AIR–200 in electronic format.

8. AUTHORITY TO CHANGE THIS ORDER. The issuance, revision, or cancellation of the material in this order is the responsibility of the AIR Aircraft Engineering Division (AIR–100) and AIR–200. These divisions will accomplish all changes, as required, to carry out the FAA's responsibility to provide for evaluations of PAHs and holders of a DOA, DAS, and SFAR 36 authorization.

9. RELATION TO OTHER DIRECTIVES. Orders referenced in this directive list only the basic order number. The user must establish that the latest revision/amendments are being used.

10. REQUESTS FOR INFORMATION. All public requests for information regarding completed ACSEP and non-ACSEP evaluations and related database information will be processed in accordance with the Freedom of Information Act (refer to FAA Order 1270.1, Freedom of Information Act Program).

11. ACRONYMS. Acronyms are listed in appendix 1.

12. SCOPE. The ACSEP will evaluate holders of a DOA, DAS, and SFAR 36 authorization; it also will evaluate all PC, APIS, PMA, and TSO authorization holders, and their associate facilities assessed as category 1 and 2 facilities in resource targeting groups I through III. See FAA Order 8120.2. PAHs assessed by resource targeting as category 3 facilities, suppliers, satellite MMFs, and holders of a letter of TSO design approval are not subject to the ACSEP. However, the ACSEP team leader may extend an ACSEP evaluation at a PAH to key suppliers, subtier suppliers or processors, or satellite MMFs to verify the PAH is satisfactorily controlling its suppliers or MMFs. The AIR directorates will implement the ACSEP. AIR–100 and AIR–200 will support the ACSEP.

13. INFORMATION CURRENCY. Any deficiencies found, clarifications needed, or improvements to be suggested regarding the content of this order should be forwarded to the AIR Automated Systems Branch, AIR–520, Attention: Directives Management Officer, for consideration. Your assistance is welcome. FAA Form 1320–19, Directive Feedback Information, is located on the last page of this order for your convenience. If an interpretation is urgently needed regarding evaluations at delegated facilities, you may call the Delegation and Airworthiness Branch, AIR–140, at 405–954–4103. If an interpretation is urgently needed regarding evaluations at PAHs, contact the Evaluations and International Programs Branch, AIR–230, at 202–267–8361. Also use FAA Form 1320–19 as a followup to any verbal conversation.

14. DEVIATIONS. Adherence to the procedures in this order is necessary for uniform administration of this directive material. If a deviation becomes necessary, the FAA employee involved must ensure the deviations are substantiated, documented, and concurred with by the appropriate supervisor. The deviation must be submitted to AIR–100 and AIR–200 for review and approval. The limits of Federal protection for FAA employees are defined by Title 28, United States Code § 2679.

15. RECORDS MANAGEMENT. For guidance regarding retention or disposition of records, consult your office Records Management Officer/Directives Management Officer or refer to FAA Order 0000.1, Subject Classification System, FAA Order 1350.14, Records Management, and FAA Order 1350.15, Records Organization, Transfer, and Destruction Standards.

16. RESERVED.

(8) Any other items necessary to prepare for the evaluation.

b. Prepare a written evaluation plan for conducting the evaluation. The evaluation plan includes the following items:

(1) Name and address of facility to be evaluated.

(2) Dates of evaluation.

(3) Names of team leader and members (when more than one evaluator is selected).

(4) Evaluation objectives. List the reason for the ACSEP evaluation, and what information is expected to be obtained during the evaluation (for example, establish facility compliance with the procedures established to meet the applicable requirements of 14 CFR or establish cause of repetitive Service Difficulty Reports).

(5) Type(s) of approval.

(6) Type certificate (TC) or supplemental type certificate (STC) number, as applicable.

(7) Current product line.

(8) Number of employees associated directly with the production approval or delegated facility activity.

(9) List of top-level FAA-approved procedures (for example, quality manual index of procedures, procedures manual, PMA approval letter, and TC data sheets).

(10) FAA/facility agreements in effect; for example, agreement on frequency of submittal of minor design changes.

(11) Plant layout.

(12) Organizational chart.

(13) Major processes.

(14) Unusual features of the product, manufacturing and inspection methods, or design approval system.

(15) Self-disclosure items under FAA Order 2150.3, appendix 1, Compliance/Enforcement Bulletin No. 92–2, Reporting and Correction Policy and Implementing Guidance for Holders of Production Approvals.

(16) Special emphasis items recommended by the PI and AE.

(17) System element, to include product audit, assignments (when more than one evaluator is selected)

e. Select at least one team member to conduct at least one product audit at a PAH or associate facility of a manufactured product (for example, characteristic dimensioning, processing attributes, and physical examination) to determine compliance with current system procedures and quality requirements. Refer to FAA Order 8120.2 for product audit areas, criteria, and procedures for recording audit results.

NOTE 1: Aviation Safety Engineers (ASEs) who are currently active Team Members/Leaders will gain experience conducting product audits by assisting an Aviation Safety Inspector (ASI), who is part of the team and is conducting the required product audit and/or during certificate management functions, which includes conducting a product audit.

NOTE 2: New Aviation Safety Engineers (ASEs) will gain experience in performing product audits by assisting Aviation Safety Inspectors (ASIs) during scheduled ACSEP evaluations as part of their evaluator-in-training requirements and/or assisting during certificate management functions which includes conducting a product audit.

f. On the basis of facility procedures or quality requirements, identify and document additional standardized evaluation criteria questions and statement-of-condition practices and principles not contained in appendices 6 and 7. Write or type additional criteria and statement-of-condition practices and principles, include the appropriate reference to the facility procedures or quality requirements and the evaluator's recommendation of the system element to which the criteria and statement of condition apply. Team members must present new criteria and statement-of-condition practices and principles to the team leader as soon as they are completed.

g. Detect and report nonconformances and areas that may require additional evaluation by the PI or AE.

56. RECORDING NONCOMPLIANCES. Evaluators will record all noncompliances on FAA Form 8100–6, Noncompliance Record, or electronic equivalent, according to the guidelines in FAA Order 8120.2.

NOTE 1: Record as a certification-related noncompliance any condition that questions the certification basis. Address the noncompliance as a special emphasis item in the evaluation report (refer to paragraphs 57b(2)(d) and 62c, and appendix 11).

NOTE 2: When evaluating a facility that is both a delegated facility and a PAH, prepare a separate FAA Form 8100–6 if the noncompliance affects both the delegated facility and the PAH.

57. EVALUATION MEETINGS.

a. Daily Meeting. The team leader or principal evaluator holds the following daily meetings, as appropriate:

(1) Meeting with Evaluation Team Members. The team leader will review and discuss the following with team members:

(a) Status of the evaluation.

(b) Problems encountered.

(c) Plan of the next day's evaluation.

(d) All FAA Form(s) 8100–6 prepared during the day to ensure correctness, adequacy, and completeness.

(2) Meeting/Communication with PI and AE. The team leader or principal evaluator ensures the certificate management PI and AE, the delegated facility AE, and the geographic PI, as applicable, are informed of all discussions concerning the status of the evaluation. This meeting should occur daily when the PI and AE are part of the evaluation team. Otherwise, coordinate with the PI and AE to establish the method and frequency at which these discussions should occur.

(3) Meeting with the Evaluated Facility's Designated Representative. The team leader or principal evaluator holds a brief meeting daily with the evaluated facility's designated representative to discuss the progress of the evaluation, including problems encountered, the status of actions requested by the team, schedule changes, and the coordination of further evaluation activities.

b. Final Critique Meeting/Evaluation Wrap-Up. At the conclusion of the evaluation, the team leader holds a final critique meeting. The principal evaluator allows time to finalize the details of the evaluation. The team leader and members or the principal evaluator do the following, as appropriate:

(1) Team Members or Principal Evaluator.

(a) Complete all required FAA Form(s) 8100–6, or electronic equivalent. When using an electronic equivalent, print to paper when all information has been entered. Team members discuss FAA Form(s) 8100–6 with the team leader to determine if there are any possible violations of the applicable requirements of 14 CFR. The team leader must resolve any disagreement on noncompliance(s). The lead evaluation office, or requesting MIDO or CMO, as applicable, must determine the level of corrective action required (see paragraph 65).

(b) Ensure all true copies of objective evidence are attached to the appropriate FAA Form(s) 8100–6, appropriately referenced, and clearly identified in accordance with FAA Order 2150.3.

(c) Complete FAA Form 8100–4, ACSEP Survey Sheet for Production Approval Holders, or FAA Form 8100–8, ACSEP Survey Sheet for DAS/DOA/SFAR 36 Delegated Facilities, or electronic equivalent, in accordance with appendix 8 or 9. When using an electronic equivalent, print to paper when all information has been entered. Prepare original forms as follows:

1 **PAH or Associate Facility.** Prepare one original FAA Form 8100–4.

2 **Facility with Multiple Production Approvals.** Prepare one original FAA Form 8100–4. Base the survey responses on the criteria for the highest-level quality requirement; for the purposes of ACSEP, the quality levels, from highest to lowest, are PC, TSO authorization, APIS, and PMA. For example, if a facility has a PMA and a TSO authorization, prepare one FAA Form 8100–4 based on the TSO authorization criteria.

3 **Delegated Facility.** Prepare one original FAA Form 8100–8 for each delegated facility approval. For example, if a facility has a DAS and an SFAR 36 authorization, prepare one FAA Form 8100–8 for the DAS and one FAA Form 8100–8 for the SFAR 36 authorization.

NOTE: A facility may have several of the approvals and authorizations referenced in paragraph 57b(1)(c). In general, most combinations will require preparation of original forms for each approval or authorization. For example, if a facility has a PMA, a TSO authorization, a DAS, and an SFAR 36 authorization, three forms would be prepared—one FAA Form 8100–4 for the PMA/TSO authorization, one FAA Form 8100–8 for the DAS, and one FAA Form 8100–8 for the SFAR 36 authorization.

(2) Team Leader or Principal Evaluator.

(a) Resolve team disagreements on specific noncompliances.

(b) Discuss all noncompliances with the certificate management PI or AE, delegated facility AE, and the geographic PI, as applicable.

(c) Prepare the ACSEP Evaluation Executive Summary (see appendix 10). Prepare original forms as follows:

1 **PAH or Associate Facility.** Prepare one original summary.

2 **Facility with Multiple Production Approvals.** Prepare one original summary. For example, if a facility has a PMA and a TSO authorization, prepare one original summary.

3 **Delegated Facility.** Prepare one original summary for each delegated facility approval. Include in each summary only those noncompliances applicable to the specific delegated facility approval. For example, if a facility has a DAS and an SFAR 36 authorization, prepare two original summaries—one for the DAS and one for the SFAR 36 authorization.

NOTE: A facility may have several of the approvals and authorizations referenced in paragraph 57b(1)(c). In general, most combinations will require preparation of original summaries for each approval or authorization. For example, if a facility has a PMA, a TSO authorization, a DAS, and an SFAR 36 authorization, three summaries would be prepared—one for the PMA/TSO authorization, one for the DAS, and one for the SFAR 36 authorization.

(d) Identify and record specific problems or concerns that the ACSEP evaluation team believes require further action and that should be brought to the attention of the ACO, MIO, MIDO, or CMO managers, the geographic PI, the AE, and the flight standards principal maintenance inspector (as appropriate). Use the instructions in appendix 11 to record these special emphasis items. Prepare original documents as follows:

1 **PAH or Associate Facility.** Prepare one original document.

2 **Facility with Multiple Production Approvals.** Prepare only one original document. For example, if a facility has a PMA and a TSO authorization, prepare one original document.

3 **Delegated Facility.** Prepare one original document for each delegated facility approval. Include in each document only those special emphasis items applicable to the specific delegated facility approval. For example, if a facility has a DAS and an SFAR 36 authorization, prepare two original documents—one for the DAS and one for the SFAR 36 authorization.

(e) Discuss with team members, as appropriate, and record any lessons learned during the ACSEP evaluation that may improve ACSEP policy or evaluation techniques. Use the instructions in appendix 12. Prepare only one original document and include copies with each report.

(f) Verify that signed original FAA Form(s) 8100–6 have been prepared for inclusion, as applicable, in each ACSEP evaluation report to be sent to the responsible certificate management MIDO, CMO, or ACO having delegation oversight. See paragraph 62f. Each report to be sent must include all applicable FAA Form(s) 8100–6. When a signed original FAA Form 8100–6 is applicable to two or more reports, do the following:

1 Reproduce the signed original FAA Form(s) 8100–6 as required for inclusion in the applicable ACSEP evaluation report(s) to be sent to the responsible certificate management MIDO, CMO, or ACO having delegation oversight.

2 Identify all true copies of the signed form in accordance with FAA Order 2150.3.

(g) Provide a copy of the completed final draft FAA Form(s) 8100–6 to the certificate management PI or AE, the delegated facility AE, and the geographic PI, as applicable, when they are present.

(h) Verify that the required number of true copies of objective evidence have been prepared for inclusion, as applicable, in each ACSEP evaluation report to be sent to the responsible certificate management MIDO, CMO, or ACO having delegation oversight.

(i) Provide all true copies of objective evidence to the certificate management PI or AE, or delegated facility AE, when present. When the PI or AE is not present, forward the copies in accordance with the applicable instructions in paragraph 64a. If the objective evidence will be necessary, as a reference during preparation of the evaluation report, make a separate copy and identify each page as “For Reference Only.”

(3) Certificate Management PI or AE, Delegated Facility AE, or Geographic PI (When Present). As appropriate, consider providing a copy of the completed final draft FAA Form(s) 8100–6 to the facility's management. Clearly mark each copy as "DRAFT" before release.

58. POSTEVALUATION CONFERENCE. The team leader or principal evaluator must conduct a postevaluation conference with appropriate senior management and cognizant supervisory personnel of the evaluated facility. The team leader or principal evaluator must do the following, as appropriate:

a. Introduce FAA personnel not previously introduced at the preevaluation conference.

b. Give a brief presentation of the overall results of the evaluation, using the completed ACSEP Evaluation Executive Summary(s) as a reference:

(1) Provide a copy of each completed ACSEP Evaluation Executive Summary to the evaluated facility's designated representative.

(2) Summarize all noncompliances. Mention only noncompliances previously discussed with the certificate management PI and AE, the delegated facility AE, the geographic PI, as applicable, and facility personnel.

c. Explain the purpose and use of the ACSEP database.

d. Explain corrective action and follow-up procedures.

NOTE: Emphasize that the PI or AE may conduct additional investigations into noncompliances reported in the ACSEP evaluation report. The results of these investigations may be included with the letter requesting corrective action for the ACSEP evaluation noncompliances.

e. Remind senior management about FAA Form 8100–7 and encourage them to complete the form and send it to the address on the form within 30 calendar days of the postevaluation conference.

f. Request final comments. Clarify any misunderstandings or disagreements before departure.

g. Adjourn the ACSEP evaluation.

59. –61. RESERVED

APPENDIX 6 PART A.

STANDARDIZED EVALUATION CRITERIA FOR PAHs AND ASSOCIATE FACILITIES

1. PURPOSE. This appendix provides standardized evaluation criteria used to document the evaluation of the system elements listed in figure 1 for PAHs and associate facilities, including their MMFs.

FIGURE 1. SYSTEM ELEMENTS

2. DESCRIPTION OF SYSTEM ELEMENTS SECTION FORMAT. Each section of this appendix addresses one of the seven system elements listed in figure 1. Each section is formatted as follows:

a. System Element Description. This is a brief description of what the system element is intended to accomplish or control.

b. System Element Standardized Evaluation Criteria. The evaluation criteria are located on the FAA's Web site and AIR's Regulatory Guidance Library Web site and are formatted as follows:

(1) Standardized Evaluation Criteria. Each criterion is identified by a numbered question within a box. The format of each question number is based on the specific system element section number identified in figure 1.

(2) Applicability. This identifies whether the criterion applies to a specific type of production approval (APIS, PC, PMA, and TSO authorization). A table format is used that identifies the type of facility across the top and a code for the type of applicability in the first column. The codes for the types of applicability are defined as follows:

(a) A. This row within the applicability block is used to identify the 14 CFR source requirements applicable to a specific facility. The applicability to a specific facility is indicated by the specific 14 CFR part or section reference (for example, 14 CFR part 21, Certification Procedures for Products and Parts, § 21.143, Quality Control Data Requirements; Prime Manufacturer).

(b) E. This row within the applicability block is used to identify the enforceable 14 CFR requirement applicable to a specific facility. The applicability to a specific facility is indicated by the enforceable 14 CFR part or section reference (for example, § 21.165, Responsibility of Holder).

APPENDIX 6. PART A

STANDARDIZED EVALUATION CRITERIA FOR PAHs AND ASSOCIATE FACILITIES

NOTE: The evaluator must determine the actual applicability of the 14 CFR reference on the basis of the encountered condition. For example, § 21.125(a)(2), Production Inspection System; Materials Review Board, requires an APIS holder to maintain materials review board records for 2 years. However, it does not require the APIS holder to have written procedures on how the records will be maintained.

(c) P. This applicability code is used within the "A" row to identify criteria that reflect industry best practices and accepted total quality management principles. These practices and principles are often contained in FAA-approved data or other facility procedures. The evaluator must determine the actual level of application at each facility.

(d) N. This applicability code is used within the "A" or "E" rows to indicate that the criterion is generally not applicable at a specific facility.

NOTE 1: Applicability indicated for a specific type of production approval includes any associate facilities established under that approval.

NOTE 2: When a "P" or "N" is used in the applicability table, a criterion is applicable and enforceable if it is addressed in the approval holder's FAA-approved data/quality manual. (Reference 21.165 or 21.607)

(3) Statement of Condition. The statement of condition provides guidelines, not requirements, that may assist the evaluator in determining adherence to the criteria. These guidelines are not the only acceptable means of implementation. Evaluators may identify additional practices in FAA-approved data or other facility procedures that indicate adherence to the requirements of the criteria.

APPENDIX 6 PART B. PREPARATION INSTRUCTIONS FOR FAA FORM 8100–4, ACSEP SURVEY SHEET FOR PRODUCTION APPROVAL HOLDERS

1. PURPOSE. This appendix provides instructions for completing FAA Form 8100–4.

2. SPECIFIC GUIDANCE. Figure 1 shows FAA Form 8100–4. Prepare the form by inserting in the following:

a. ACSEP No./Report No. Block. Insert the ACSEP number and the report number.

b. Project No. Block. Insert the project number(s).

c. Blocks 1 through 7. Check the appropriate box for each system element evaluation criterion. Determine the appropriate box to check for each criterion as follows:

(1) Unable to evaluate. Check this box if you were unable to fully evaluate the criterion due to lack of time, inadequate resources, lack of expertise, or other reasons. You may also check either the "No procedures" box or the "Procedures in place" box if that information is known; see paragraphs 2c(3) and 2c(4) in this appendix. If you were unable to evaluate an entire system element, record the appropriate reasons as part of the lessons learned (see appendix 12).

(2) Not applicable. Check this box if the criterion was not applicable at the facility being evaluated. Do not check any other box for this criterion.

(3) No procedures. Check the box if the criterion was applicable at the facility being evaluated and no procedures were in place relative to the criterion. You may check this box in addition to the "Unable to evaluate" box if no procedures were in place relative to the criterion.

(4) Procedures in place. Check this box if the criterion was applicable at the facility being evaluated and procedures were in place relative to the criterion. You may check this box in addition to the "Unable to evaluate" box if procedures were in place relative to the criterion.

d. New Criteria Block. Insert the system element number and a brief description of the new criteria.

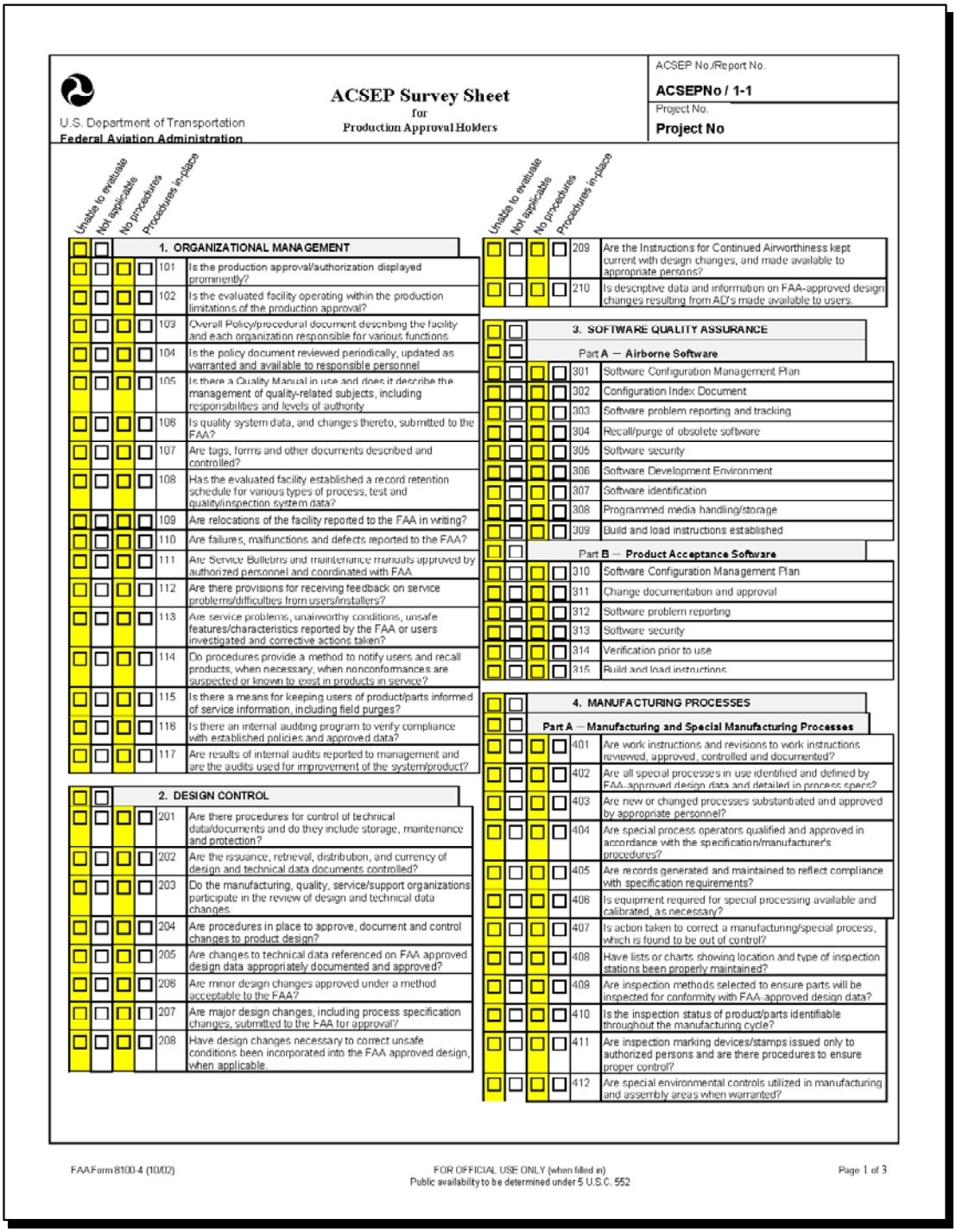
(1) List all new criteria developed.

NOTE: Include the complete text of new criteria in the ACSEP Evaluation Lessons Learned section of the ACSEP evaluation report (see appendix 12).

(2) Assign a system element number to each new criterion. For example, a new criterion developed for evaluation of the tool and gauge system element would be assigned to system element number 5, part B.

APPENDIX 6 PART B. PREPARATION INSTRUCTIONS FOR FAA FORM 8100–4, ACSEP SURVEY SHEET FOR PRODUCTION APPROVAL HOLDERS

FIGURE 1. SAMPLE FAA FORM 8100–4



U.S. Department of Transportation
Federal Aviation Administration

ACSEP Survey Sheet
for
Production Approval Holders

ACSEP No./Report No.
ACSEPNo / 1-1
Project No.
Project No

Unable to evaluate | Not applicable | No procedures | Procedures in-place

1. ORGANIZATIONAL MANAGEMENT

101	Is the production approval/authorization displayed prominently?
102	Is the evaluated facility operating within the production limitations of the production approval?
103	Overall Policy/procedural document describing the facility and each organization responsible for various functions
104	Is the policy document reviewed periodically, updated as warranted and available to responsible personnel
105	Is there a Quality Manual in use and does it describe the management of quality-related subjects, including responsibilities and levels of authority
106	Is quality system data, and changes thereto, submitted to the FAA?
107	Are tags, forms and other documents described and controlled?
108	Has the evaluated facility established a record retention schedule for various types of process, test and quality/inspection system data?
109	Are relocations of the facility reported to the FAA in writing?
110	Are failures, malfunctions and defects reported to the FAA?
111	Are Service Bulletins and maintenance manuals approved by authorized personnel and coordinated with FAA
112	Are there provisions for receiving feedback on service problems/difficulties from users/installers?
113	Are service problems, unairworthy conditions, unsafe features/characteristics reported by the FAA or users investigated and corrective actions taken?
114	Do procedures provide a method to notify users and recall products, when necessary, when nonconformances are suspected or known to exist in products in service?
115	Is there a means for keeping users of product/parts informed of service information, including field purges?
116	Is there an internal auditing program to verify compliance with established policies and approved data?
117	Are results of internal audits reported to management and are the audits used for improvement of the system/product?

2. DESIGN CONTROL

201	Are there procedures for control of technical data/documents and do they include storage, maintenance and protection?
202	Are the issuance, retrieval, distribution, and currency of design and technical data documents controlled?
203	Do the manufacturing, quality, service/support organizations participate in the review of design and technical data changes
204	Are procedures in place to approve, document and control changes to product design?
205	Are changes to technical data referenced on FAA approved design data appropriately documented and approved?
206	Are minor design changes approved under a method acceptable to the FAA?
207	Are major design changes, including process specification changes, submitted to the FAA for approval?
208	Have design changes necessary to correct unsafe conditions been incorporated into the FAA approved design, when applicable.
209	Are the Instructions for Continued Airworthiness kept current with design changes, and made available to appropriate persons?
210	Is descriptive data and information on FAA-approved design changes resulting from AD's made available to users.

3. SOFTWARE QUALITY ASSURANCE

Part A — Airborne Software

301	Software Configuration Management Plan
302	Configuration Index Document
303	Software problem reporting and tracking
304	Recall/purge of obsolete software
305	Software security
306	Software Development Environment
307	Software identification
308	Programmed media handling/storage
309	Build and load instructions established

Part B — Product Acceptance Software

310	Software Configuration Management Plan
311	Change documentation and approval
312	Software problem reporting
313	Software security
314	Verification prior to use
315	Build and load instructions

4. MANUFACTURING PROCESSES

Part A — Manufacturing and Special Manufacturing Processes

401	Are work instructions and revisions to work instructions reviewed, approved, controlled and documented?
402	Are all special processes in use identified and defined by FAA-approved design data and detailed in process specs?
403	Are new or changed processes substantiated and approved by appropriate personnel?
404	Are special process operators qualified and approved in accordance with the specification/manufacturer's procedures?
405	Are records generated and maintained to reflect compliance with specification requirements?
406	Is equipment required for special processing available and calibrated, as necessary?
407	Is action taken to correct a manufacturing/special process, which is found to be out of control?
408	Have lists or charts showing location and type of inspection stations been properly maintained?
409	Are inspection methods selected to ensure parts will be inspected for conformity with FAA-approved design data?
410	Is the inspection status of product/parts identifiable throughout the manufacturing cycle?
411	Are inspection marking devices/stamps issued only to authorized persons and are there procedures to ensure proper control?
412	Are special environmental controls utilized in manufacturing and assembly areas when warranted?

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APPENDIX 6 PART B. PREPARATION INSTRUCTIONS FOR FAA FORM 8100–4, ACSEP SURVEY SHEET FOR PRODUCTION APPROVAL HOLDERS

FIGURE 1. SAMPLE FAA FORM 8100–4 (CONTINUED)

U.S. Department of Transportation
Federal Aviation Administration

ACSEP Survey Sheet
for
Production Approval Holders

ACSEP No./Report No.
ACSEPNo / 1-1
Project No.
Project No

Unable to evaluate | Not applicable | No procedures | Procedures in-place

4. MANUFACTURING PROCESSES

Part B – Material Handling, Receiving & Storage

☐	☐	☐	☐	413	Is receiving inspection required to verify conformity to design data and purchase order requirements?
☐	☐	☐	☐	414	Are records of receiving inspection generated and verified?
☐	☐	☐	☐	415	Are purchased shelf-life materials and products verified to ensure that specification requirements are met?
☐	☐	☐	☐	416	Are age sensitive products/parts/ materials identified and controlled?
☐	☐	☐	☐	417	Are materials and parts awaiting acceptance segregated?
☐	☐	☐	☐	418	Are traceable components identified in assembly records?
☐	☐	☐	☐	419	Are completed parts traceable to raw material, when applicable?
☐	☐	☐	☐	420	Is traceability for split lots maintained, including accountability for the completion of all manufacturing and inspection operations?
☐	☐	☐	☐	421	Are special identification and controls required if material or parts are introduced into production prior to full acceptance?
☐	☐	☐	☐	422	Are appropriate methods used to prevent part damage or contamination?
☐	☐	☐	☐	423	Are cleaners, solvents, degreasers, etc., adequately identified and controlled to prevent potential product damage from misapplication?
☐	☐	☐	☐	424	Is there proper separation and identification of product/parts in storage and manufacturing areas?

Part C – Airworthiness Determination

☐	☐	☐	☐	425	Are required design changes incorporated on products/parts being stored prior to their release for installation/shipment?
☐	☐	☐	☐	426	Are only conforming and properly identified products/parts placed in storage and is removal/issuance of parts controlled?
☐	☐	☐	☐	427	Do completed products or parts have proper identification markings?
☐	☐	☐	☐	428	Are only conforming and properly identified products or parts shipped under the production approval?
☐	☐	☐	☐	429	Have statements of conformity for products been submitted to the FAA for airworthiness determination.
☐	☐	☐	☐	430	If an export airworthiness approval has been issued, have the necessary documents and instructions been forwarded to the aviation authority of the importing country as specified in AC 21-2?
☐	☐	☐	☐	431	Have authorized personnel issued airworthiness approvals (FAA Form 8130-4 or 8130-3)?
☐	☐	☐	☐	432	Have export airworthiness approvals been obtained for all products/parts that have left the PAH's quality system?

FOR AIRCRAFT MANUFACTURERS ONLY

☐	☐	☐	☐	433	Are completed aircraft registered prior to airworthiness certification?
☐	☐	☐	☐	434	Have aircraft been properly identified with nationality and registration marks prior to airworthiness certification?
☐	☐	☐	☐	435	Have applicable airworthiness certificates or special flight permits been obtained for the purposes for which the aircraft is flown?
☐	☐	☐	☐	436	Are flight manuals, supplements and current weight and balance data furnished with each aircraft?
☐	☐	☐	☐	437	Have registration and airworthiness certificates been cancelled for aircraft whose title has passed to an importing country?

Unable to evaluate | Not applicable | No procedures | Procedures in-place

5. MANUFACTURING CONTROLS

Part A – Statistical Quality Control (SQC)

☐	☐	☐	☐	501	Has a statistical sampling plan been established for acceptance of product characteristics at receiving inspection and during manufacture?
☐	☐	☐	☐	502	Do engineering and manufacturing organizations participate in the SQC program?
☐	☐	☐	☐	503	Has a satisfactory SPC method been established for acceptance of specific product characteristics?
☐	☐	☐	☐	504	Are appropriate SPC control limits and subgroup selection being used and maintained?
☐	☐	☐	☐	505	Has a satisfactory PRE-control method been established for acceptance of specific product characteristics?
☐	☐	☐	☐	506	Are pertinent personnel trained in statistical techniques?

Part B – Tool and Gauge

☐	☐	☐	☐	507	Does the specified equipment used for inspection and test have the degree of accuracy necessary to determine conformity of the characteristic being inspected?
☐	☐	☐	☐	508	Are tools, gauges and equipment initially approved, periodically inspected and calibrated when applicable?
☐	☐	☐	☐	509	Do standards used have adequate accuracy and are they traceable to a recognized standards organization?
☐	☐	☐	☐	510	Are tools and gauges protected, maintained and used in an acceptable environment to ensure product conformity?
☐	☐	☐	☐	511	When a product has been accepted by a significantly out of tolerance gauge, is an evaluation conducted to determine the need for corrective action?
☐	☐	☐	☐	512	Are tool control procedures applied to NDI equipment?

Part C – Testing

☐	☐	☐	☐	513	Are test procedures/applicable instructions and subsequent changes established, maintained and adequately controlled?
☐	☐	☐	☐	514	Do procedures ensure that the appropriate organizations participate in the review of test instructions or procedures?
☐	☐	☐	☐	515	Are products/parts that have been adjusted or reworked after test acceptance, retested to approved procedures?
☐	☐	☐	☐	516	Are there procedures to ensure records are generated and maintained for completed tests of aircraft, engines, or propellers?

FOR AIRCRAFT MANUFACTURERS ONLY

☐	☐	☐	☐	517	Have flight test procedures and changes been submitted to and approved by the FAA?
☐	☐	☐	☐	518	In the case of aircraft, is the evaluated facility using flight test pilots that have been fully qualified?
☐	☐	☐	☐	519	In the case of aircraft is the flight check-off form properly completed?

Part D – Non-Destructive Testing

☐	☐	☐	☐	520	Are NDI processes, including changes, properly documented, controlled and reviewed for conformance with FAA approved design data?
☐	☐	☐	☐	521	Are NDI operators certified, recertified, and decertified by the evaluated facility and performing within their limits of authorization?
☐	☐	☐	☐	522	Are applicable NDI procedures/process specifications readily available and used by inspection personnel?

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APPENDIX 6 PART B. PREPARATION INSTRUCTIONS FOR FAA FORM 8100–4, ACSEP SURVEY SHEET FOR PRODUCTION APPROVAL HOLDERS

FIGURE 1. SAMPLE FAA FORM 8100–4 (CONTINUED)

U.S. Department of Transportation
Federal Aviation Administration

ACSEP Survey Sheet
for
Production Approval Holders

ACSEP No./Report No.
ACSEPNo / 1-1
Project No.
Project No

Unable to evaluate	Not applicable	No procedures	Procedures in-place		
				Part D – Non-Destructive Testing	
				523	Are the critical NDI parameters identified and controlled?
				524	Do procedures address NDI acceptance and rejection criteria?
				525	Is corrective action taken when an NDI process is found to be out of control?
				526	Are adequate test pieces and NDI known defect samples available and identified to preclude introduction into the production system?
				527	Are NDI tanks and solutions checked for compliance with specifications?
				528	Are NDI inspection records generated and maintained?
				Part E – Nonconforming Material	
				529	Is a Materials Review Board (MRB) established, documented and operational?
				530	Are nonconforming products/parts identified, controlled and dispositioned?
				531	Are MRB dispositions that are identified as major changes approved by the FAA through design approval process?
				532	Does upper management review and analyze nonconforming material data to detect adverse trends?
				533	Does engineering review nonconforming material to determine if nonconformance constitutes a major or minor change to FAA-approved type design.
				534	Is corrective action required where processes or procedures result in nonconforming product/part and are actions monitored?
				6. SUPPLIER CONTROL	
				601	Is the use of approved suppliers required?
				602	Are initial and periodic evaluations of suppliers made as necessary and are corrective actions taken to correct deficiencies?
				603	Is the supplier's quality manual approved by the PAH?
				604	Are procedures for the use of other-parties to perform supplier surveillance or assessments on behalf of the PAH contained in the quality manual or other documents?
				605	Are procedures for the use of other-party registered suppliers detailed in the quality manual or other documents?
				606	Do procedures require that suppliers notify the evaluated facility in writing when there are significant facility or organizational changes such as company name, location or senior quality management?
				607	Does the evaluated facility make information available to the FAA regarding all delegation of authority to suppliers to make a major inspection/material review of any products/parts?
				608	Does the PAH notify the FAA of suppliers authorized to direct ship?
				609	Suppliers with direct ship authority are controlled to ensure that only conforming parts are released?
				610	Do procedures require that approved suppliers have a supplier control program in place for their suppliers?
				611	Does the evaluated facility flow down applicable technical and quality requirements to both U.S. and international suppliers?
				612	Does the evaluated facility control supplier design, including changes?
				613	Are electronically stored and transmitted technical design and quality data adequately controlled and distributed to suppliers?
				614	Does the quality organization review purchase documents prior to issuance?
				615	Does the PAH act on supplier notifications of suspected problems with previously delivered products?
				616	Do procedures require suppliers to have a program to ensure the proper operation of manufacturing software and equipment used for product/part inspection/ test?
				617	Does the PAH notify the FAA of all new suppliers located in other countries and receipt of first articles produced by those suppliers?
				618	Are products and parts from associate facilities controlled?
				619	Has an interface quality document been prepared for consortium manufacturing activities?
				7. MANUFACTURER'S MAINTENANCE FACILITY (MMF)	
				701	Has an inspection program and a program covering maintenance and preventive maintenance been established?
				702	Is the facility operating within the privileges of its repair station certificate?
				703	Are certificated mechanics or repairmen directly in charge of maintenance and preventive maintenance?
				704	Is the work performed in accordance with FAA-approved data?
				705	Is the work accomplished entered in the appropriate maintenance record?
				706	Are aircraft, engine, and/or propeller logbooks and/or records properly annotated, signed and dated?
				707	Have all requirements been completed prior to approving return to service operations?
				708	Are products or parts from satellite MMFs controlled?

NEW CRITERIA

		Criteria	Description

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APPENDIX 7. PART A
STANDARDIZED EVALUATION CRITERIA FOR DELEGATED FACILITIES

1. PURPOSE. This appendix provides standardized evaluation criteria used in documenting the evaluation of the systems elements listed in figure 1 for delegated facilities.

FIGURE 1. SYSTEM ELEMENTS

2. DESCRIPTION OF SYSTEM ELEMENTS SECTION FORMAT. Each section of this appendix addresses one of the 10 system elements listed in figure 1. Each section is formatted as follows:

a. System Element Description. This is a brief description of what the system element is intended to accomplish or control.

b. System Element Standardized Evaluation Criteria. Each criteria is formatted as follows:

(1) Standardized Evaluation Criteria. Each criteria is identified by a numbered question within a box. The format of each question number is based on the specific system element section number identified in figure 1, the letter "D" to identify the criteria as specific to delegated facilities, and the sequence within the system element. For example, question 1D8 would be the eighth question [8] under the organization and responsibility system element [1] for a delegated engineering function [D].

(2) Applicability. This identifies the specific type of delegated facility function (DAS, DOA, or SFAR 36) to which the standardized evaluation criteria applies. A table format is used that identifies the type of facility across the top, and a code for the type of applicability in the first column. The codes for the types of applicability are defined as follows:

APPENDIX 7. PART A
STANDARDIZED EVALUATION CRITERIA FOR DELEGATED FACILITIES (CONT'D)

(a) R. This applicability code is used to identify criteria that have a CFR based origin. The applicability to a specific facility is indicated by the specific CFR part or section reference; e.g., § 21.463.

(b) P. This applicability code is used to identify criteria that reflect FAA Aircraft Certification practices to assist in evaluating design data for compliance to applicable CFR. These practices may be contained in the FAA-approved DAS or SFAR 36 Procedures Manual, DOA Handbook, or other non-FAA approved facility procedures. The evaluator must determine the actual level of application at each delegated facility. The applicability to a specific facility is indicated with an "X."

(c) N. This applicability code is used to indicate that the criteria is not generally applicable at a specific facility. The evaluator must determine the actual level of application at each facility. The applicability to a specific facility is indicated with an "X".

(3) Statement of Condition. The statement of condition provides specific indicators of criteria that have been satisfactorily implemented. These indicators generally include documented procedures and adherence to those procedures. The procedures indicated in the statement of condition include some of the specific practices and principles that are often associated with the criteria. However, these practices and principles are not the only acceptable indicators of satisfactory implementation. Evaluators may identify additional practices and principles in FAA-approved data or other facility procedures. A practice or principle that reflects CFR requirements is followed by the specific CFR part or section reference in brackets, e.g., {§ 21.463}. The statement of condition assists the evaluator to determine the following:

(a) The depth of the investigation that may be required to satisfactorily evaluate the criteria.

(b) The appropriate criteria on which to document evaluation results.

APPENDIX 7 PART B. PREPARATION INSTRUCTIONS FOR FAA FORM 8100–8, ACSEP SURVEY SHEET FOR DAS/DOA/SFAR 36 DELEGATED FACILITIES

1. PURPOSE. This appendix provides instructions for completing FAA Form 8100–8.

2. SPECIFIC GUIDANCE. Figure 1 shows FAA Form 8100–8. Prepare the form by inserting in the following:

a. ACSEP No./Report No. Block. Insert the ACSEP number and the report number.

b. Project No. Block. Insert the type of delegated facility (DAS, DOA, or SFAR 36).

c. Blocks 1 through 10. Check the appropriate box for each system element evaluation criterion. Determine the appropriate box to check for each criterion as follows:

(1) Unable to evaluate. Check this box if you were unable to fully evaluate the criterion due to lack of time, inadequate resources, lack of expertise, or other reasons. You may also check either the "No procedures" box or the "Procedures in-place" box if that information is known; see paragraphs 2c(3) and 2c(4) in this appendix. If you were unable to evaluate an entire system element, record the appropriate reasons as part of the lessons learned (see appendix 12).

(2) Not applicable. Check this box if the criterion was not applicable at the facility being evaluated. Do not check any other box for this criterion.

(3) No procedures. Check the box if the criterion was applicable at the facility being evaluated and no procedures were in place relative to the criterion. You may check this box in addition to the "Unable to evaluate" box if no procedures were in place relative to the criterion.

(4) Procedures in-place. Check this box if the criterion was applicable at the facility being evaluated and procedures were in place relative to the criterion. You may check this box in addition to the "Unable to evaluate" box if procedures were in place relative to the criterion.

d. New Criteria Block. Insert the system element number and a brief description of the new criteria.

(1) List all new criteria developed.

NOTE: Include the complete text of new criteria in the ACSEP Evaluation Lessons Learned section of the ACSEP evaluation report (see appendix 12).

(2) Assign a system element number to each new criterion. For example, a new criterion developed for evaluation of the testing system element would be assigned system element number 5.

DAS/DOA/SFAR 36 DELEGATED FACILITIES

FIGURE 1. SAMPLE FAA FORM 8100–8

U.S. Department of Transportation
Federal Aviation Administration

ACSEP Survey Sheet
for
DAS/DOA/SFAR 36 Delegated Facilities

ACSEP No/ Report No:

Project No:

Unable to evaluate | Not applicable | No procedures | Procedures in-place

1. Organization & Responsibility

- 1D1. Use of FAA-approved Procedure Manual/Handbook
- 1D2. Current Procedure Manual/Handbook
- 1D3. Periodic review of Procedure Manual/Handbook
- 1D4. Operation within approved delegation authority
- 1D5. Limits on the repair, rebuilding, or altering of products
- 1D6. Continues to meet criteria for holding authorization
- 1D7. Use of coordinator as focal point
- 1D8. Coordinator has sufficient authority
- 1D9. Delegation engineering and flight test org. described
- 1D10. Delegation inspection and airworthiness org. described
- 1D11. Procedures, regulations, and policies are made available
- 1D12. List of engineer, flight test, and inspection staff
- 1D13. List of products repaired or modified
- 1D14. Current list of certificates held
- 1D15. Qualifications of delegated facility staff
- 1D16. Training of delegated facility staff
- 1D17. Attendance at FAA Standardization Workshops
- 1D18. Tags, forms, etc., described/controlled
- 1D19. Records retention
- 1D20. Flight safety program

2. Project Management

- 2D1. Certification basis established
- 2D2. Use of latest airworthiness standards
- 2D3. Determination of project significance
- 2D4. Coordination of certification basis with FAA
- 2D5. Review of Letter of Intent by delegation staff
- 2D6. Submittal of Letter of Intent to FAA
- 2D7. FAA response to Letter of Intent
- 2D8. FAA concurrence on equivalent safety provisions
- 2D9. AD's effect on change in type design
- 2D10. Coordination of project milestones/requirements
- 2D11. Ident. of technical, regulatory, and administrative issues
- 2D12. Management promotion of staff communication
- 2D13. Coordination between technical disciplines
- 2D14. Identification/approval of certification tests
- 2D15. Conformity, inspection, and test authorization
- 2D16. Inspections conducted by authorized staff members
- 2D17. Conformity inspections conducted prior to testing
- 2D18. Engineering disposition of nonconforming products/parts
- 2D19. FAA-requested participation
- 2D20. Approval/control of AFM/AFMS
- 2D21. TIR/STIR to document conformity, inspection, and tests
- 2D22. TC/STC amendment projects identified
- 2D23. DAS/DOA Coordinator concurrence with staff
- 2D24. Verification of type certificate issuance
- 2D25. Proper completion of STC certificates
- 2D26. Certification summary report
- 2D27. Documentation/approval of type design data

3. Design Data Approval

- 3D1. Control of type design data
- 3D2. Use of approved documents and forms
- 3D3. Classification of data being approved
- 3D4. Drawing control system
- 3D5. Technical/repair data is approved
- 3D6. Software Configuration Mgmt. Plan
- 3D7. Software criticality assessment
- 3D8. Configuration Index Document
- 3D9. Software problem reporting
- 3D10. Software security
- 3D11. Software development environment
- 3D12. Software media handling/storage

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APPENDIX 7 PART B. PREPARATION INSTRUCTIONS FOR FAA FORM 8100–8, ACSEP SURVEY SHEET FOR DAS/DOA/SFAR 36 DELEGATED FACILITIES

FIGURE 1. SAMPLE FAA FORM 8100–8 (CONTINUED)

U.S. Department of Transportation
Federal Aviation Administration

ACSEP Survey Sheet
for
DAS/DOA/SFAR 36 Delegated Facilities

ACSEP No/ Report No:

Project No:

Unable to evaluate | Not applicable | No procedures | Procedures in-place

4. Design Change Approval
- 4D1. Control of changes to type design data
- 4D2. Major/minor determination
- 4D3. Minor design change approval method
- 4D4. Approval of major changes to type design
- 4D5. Use of approved documents and forms
- 4D6. AD incorporation into design
- 4D7. Repairable damage limits specified

5. Testing
- 5D1. Approval of certification tests
- 5D2. Authorized staff members identified
- 5D3. Accuracy and calibration of test equipment
- 5D4. Safety equipment availability
- 5D5. Conformity inspections prior to certification testing
- 5D6. Staff review of test instructions/procedures
- 5D7. Results documented and approved
- 5D8. Test discrepancies documented and dispositioned
- 5D9. Identification of personnel used to assist in test witnessing

6. Conformity Inspection
- 6D1. Statements of conformity submitted
- 6D2. Conformity inspections documented
- 6D3. Accuracy and calibration of inspection equipment
- 6D4. "At-risk" conformity inspection records reviewed
- 6D5. Conformity inspections at supplier/vendor
- 6D6. Control of nonconforming products/parts
- 6D7. Software identification
- 6D8. Engineering/inspection review of special process
- 6D9. Adequacy of data for multiple approval

7. Airworthiness Certification
- 7D1. Application for airworthiness certification submitted
- 7D2. Limitations and conditions for experimental airworthiness
- 7D3. Appropriate airworthiness certificate for purpose flown
- 7D4. AD incorporation
- 7D5. Export airworthiness approval documentation/coordination
- 7D6. Export airworthiness approval records
- 7D7. Required manuals/documents furnished with aircraft
- 7D8. Authorized issue of airworthiness approval tags

8. FAA Notification
- 8D1. Submittal of required information to FAA
- 8D2. Notification of changes to authorization eligibility
- 8D3. Investigation of FAA-reported unsafe conditions
- 8D4. Transfer of TC/STC certificate

Unable to evaluate | Not applicable | No procedures | Procedures in-place

9. Continued Airworthiness
- 9D1. Instructions for Continued Airworthiness developed
- 9D2. Availability of Instructions for Continued Airworthiness
- 9D3. Design change impact on Inst. for Continued Airworthiness
- 9D4. Repair data impact on current inspection limits
- 9D5. Feedback on service problems
- 9D6. Service problem investigation and corrective action
- 9D7. Failure reporting
- 9D8. AD required corrective action information made available
- 9D9. Record of reported service difficulties maintained
- 9D10. Users kept informed of service information
- 9D11. Impact of follow-on life cycle testing on airworthiness
- 9D12. Approval of service bulletins and maint. manuals
- 9D13. Submittal of service bulletins and maint. manuals to FAA
- 9D14. Use of approved technical data for repair/rebuild/alterations

10. Audit
- 10D1. Internal auditing program
- 10D2. Sharing of audit information
- 10D3. Periodic review of implemented modifications/repairs
- 10D4. Feedback to higher-level management

New Criteria

Criteria	Description

FAA Form 8100-8 (4-99)

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APPENDIX 8

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APPENDIX 9

RESERVED FOR FUTURE USE

APPENDIX 10. PREPARATION INSTRUCTIONS FOR FAA ACSEP EXECUTIVE SUMMARY

1. PURPOSE. This appendix provides instructions for preparing the FAA ACSEP Executive Summary. This summary provides the status of each system element evaluated and a narrative of noncompliances. The completed summary will be the only record of noncompliances that the team leader provides at the postevaluation conference to the evaluated facility.

2. SPECIFIC GUIDANCE. Figures 1 through 3 show sample executive summaries with numbered blocks. Prepare the summary as follows:

a. Block 1. Insert the ACSEP number/report number.

b. Block 2. Insert the project number(s) assigned to the production approval activity being evaluated. For a delegated facility, enter the type of delegated facility (that is, DAS, DOA, or SFAR 36).

c. Block 3. Insert the name of the facility that was evaluated.

d. Block 4. Insert the date(s) of the evaluation.

e. Block 5. Insert brief statements outlining the noncompliances for each of the applicable system elements. Format the summary as follows:

(1) State the total number of noncompliances identified for the entire evaluation, even if there were none.

(2) Discuss only those system elements that have noncompliances recorded. Do not list system elements that have no noncompliances recorded.

(a) State the number of noncompliances identified for each system element discussed.

(b) Summarize the noncompliances for each system element discussed.

f. Block 6. Have the team leader sign in this block. This block may be signed by a team leader-in-training but must also be countersigned by the team leader. When an electronic version of the executive summary is used, ensure that all required names are listed.

g. Block 7. Insert the date of the postevaluation conference.

h. Block 8. Insert the required marking in accordance with guidelines found in FAA Order 1600.2D.

APPENDIX 11. PREPARATION INSTRUCTIONS FOR ACSEP EVALUATION SPECIAL EMPHASIS ITEMS

1. PURPOSE. This appendix provides instructions for preparing ACSEP Evaluation Special Emphasis Items. These items are intended to bring to the attention of the ACO and MIO managers, the PI, the AE, and the FSDO principal maintenance inspector (as appropriate) specific problems or concerns that the ACSEP evaluation team believes require further action.

2. SPECIFIC GUIDANCE. Figures 1 and 2 show sample special emphasis items with numbered blocks. Prepare the special emphasis items by inserting in the following:

a. Block 1. The ACSEP number/report number.

b. Block 2. The project number(s) assigned to the production approval activity being evaluated. For a delegated facility, enter the type of delegated facility (that is, DAS, DOA, or SFAR 36).

c. Block 3. A brief statement summarizing the problem or concern, identifying the relevant system element, and referencing the relevant noncompliances. Provide a recommendation for further action required, as appropriate.

d. Block 4. Insert the required marking in accordance with guidelines found in FAA Order 1600.2D.

APPENDIX 12. PREPARATION INSTRUCTIONS FOR ACSEP EVALUATION LESSONS LEARNED

1. PURPOSE. This appendix provides instructions for recording lessons learned from ACSEP evaluations. These lessons form an important part of the ACSEP quality improvement program.

2. SPECIFIC GUIDANCE. Figure 1 shows sample lessons learned statements. Prepare the lessons learned by inserting in the following:

a. Block 1. The ACSEP number/report number.

b. Block 2. The project number(s) assigned to the production approval activity being evaluated. For a delegated facility, enter the type of delegated facility (that is, DAS, DOA, or SFAR 36).

c. Block 3. All events noted during the evaluation that may lead to improvement of ACSEP policy or evaluation techniques. Events should include the following:

(1) An assessment of the performance of the evaluation, detailing the successes, failures, unique problems encountered, solutions, and recommendations for future evaluations, policy, and related training.

(2) Difficulties in using this order, including the standardized evaluation criteria, and recommendations for improving this document and the related training.

(3) The rationale for checking the "Unable to evaluate" block on FAA Form 8100–4 or 8100–8 for an ENTIRE SYSTEM ELEMENT (for example, lack of time, inadequate resources, or lack of expertise).

(4) All new evaluation criteria and/or statement-of-condition practices and principles.

(a) State the complete text of any new criteria added to FAA Form 8100–4 or 8100–8. Include a statement of condition, as appropriate.

(b) State the complete text of any new practices or principles proposed for an existing statement of condition. Indicate the criterion number to which the statement of condition applies.

d. Block 4. Insert the required marking in accordance with guidelines found in FAA Order 1600.2D.